



2005 Grants Final Year and Closeout Guidance

Smaller Learning Communities Program

U.S. Department of Education
High School Programs
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Presentation Overview

- ▶ Critical dates and deadlines
- ▶ 2005 SLC Grant Funds Expiration
- ▶ No Cost Extensions, Liquidation Periods
- ▶ 2010 SLC grant competition eligibility
- ▶ Conclusion

2005 SLC Grants

2005 SLC Enhanced Reading Opportunities (ERO) Grants

12 Active Grant Sites

Performance Period: June 27, 2005 – May 26, 2010

Liquidation Period: May 27, 2010 – September 30, 2010

Non-ERO SLC Grants

54 Active Grant Sites

Performance Period: July 1, 2005 – June 30, 2010

Liquidation Period: July 1, 2010 – September 30, 2010

TIME LINE: SLC Funds Availability

Status	SLC Grants 7/1/05 – 6/30/10	SLC ERO Grants 6/27/05 – 5/26/10	Actions
Performance Period	Now – 6/30/10	Now – 5/26/10	Obligations and account draw-downs may occur.
Liquidation Period	Start: Performance Period End Date End: September 30, 2010		Draw-downs ONLY for obligations made during the performance period.
Request for No-Cost Extension	April 2010		Send email with NCE request directly to program officer
No-Cost Extension Period	Requires prior approval from ED		Obligations and account draw-downs may occur.
Funds Expire	September 30, 2010		Your SLC Grant account balance will be \$0 <u>after midnight</u> September 30, 2010.

TIME LINE: Performance Monitoring

Status	All 2005 Grantees (ERO and Non-ERO Grants)	Actions
Year 4 APR	Due 1/14/10	Refer to guidance letter issued on October 16, 2009.
Year 5/ Final Performance Report	Winter 2011 (exact date TBA)	This final report shall include narrative information for all five project years and student outcomes data for Year 5. Project director or authorizing representative submits APR per ED guidance to be issued in Summer 2010 .

EXPIRATION OF 2005 SLC GRANT FUNDS

Background:

By law, every dollar appropriated by Congress is available for expenditures for only 5 years. Funds revert to the U.S. Department of the Treasury after this.

Prior to 2005, ED awarded SLC grants for an initial three project years. This timeframe left a grantee up to two years of time to still technically “have access” to these initial funds **if** the Department approved a late liquidation or no-cost-extension period.

FUNDS EXPIRATION - IMPLICATIONS

For 2005 SLC and SLC ERO grantees who received all five years of project funds up front, all unexpended funds remaining in the G5 account will revert to Treasury after midnight September 30, 2010.

This means that there will be no opportunity for a late liquidation request after September 30, 2010, because the \$0 funds balance will remain and the Department has no authority to retrieve the funds.

FUNDS EXPIRATION - IMPLICATIONS

Scenario 1

2005 (non-ERO) SLC Grantee

Smith Unified School District's SLC grant ended on June 30, 2010. On October 1, 2010 the independent evaluator submits the final evaluation report and an invoice for payment. The budget office contacts the project director on October 2nd to indicate that SLC grant funds are no longer available and the district is now responsible for paying for the final invoice using non-SLC grant funds.

How could this situation have been avoided?

PD informs district budget staff and the evaluator now that SLC grant funds must be obligated by June 30, 2010. Further, the evaluator is asked to submit the completed evaluation report along with a final invoice well before the liquidation deadline of September 29, 2010 in order to give the district's budget office sufficient time to process and draw down funds from the G5 account.

FUNDS EXPIRATION - IMPLICATIONS

Scenario 2

2005 SLC ERO Grantee

Jones Independent School District's SLC-ERO SLC grant ended on May 26, 2010. On August 31 teachers submit reimbursement requests for attendance at a professional conference that occurred in April (during the project period).

The budget office staff does not begin to process the request until September 30. The teachers are upset when the budget office informs that it is too late to request any kind of extension and SLC funds will no longer be available to reimburse their costs.

How could this situation have been avoided?

The Project Director informs the district budget office and all SLC project staffs now of all deadlines (project period, liquidation period, internal invoice submission deadlines, etc.).

No Cost Extension Requests

Be aware that:

- ▶ You must request prior approval for a no cost extension from the Department.
- ▶ You may only request a no cost extension (NCE) in order to complete activities that were part of your original grant application.
- ▶ You may not request an NCE to complete new activities.
- ▶ If you request and receive a no cost extension (NCE) period you may not have the typical 90-day liquidation period following an NCE end date.

No Cost Extension Cautions

SLC (non-ERO) Grantee Example A

A 2005 SLC grantee sends the ED program officer a request for no cost extension period to extend the performance period from June 30, 2010 to August 30, 2010, in order to complete the previously approved SLC project activities.

The Department approves the NCE request.

As a consequence of this NCE period, the grantee now has less than 30 days following the NCE end date (9/15/10) to draw down funds for any outstanding obligations. Funds will expire September 30, 2010, and will revert to the Treasury.

No Cost Extension Cautions

SLC ERO Grantee Example B

A 2005 SLC ERO grantee sends the ED program officer a request for no cost extension period to extend the performance period from May 26, 2010 to August 15, 2010, in order to complete the previously approved SLC project activities.

The Department approves the NCE request.

As a consequence of this NCE period, the grantee now has less than 45 days after the NCE end date (8/15/10) to draw down funds for any outstanding obligations. Funds will expire September 30, 2010, and will revert to the Treasury.

Funds Expiration Implications

The expiration of your SLC Grant funds on September 30, 2010 also has critical implications for your fiscal and program management responsibilities from now through the end of your 2005 SLC grant project performance period.

Final Project Year Fiscal Management Guidance

DURING the performance period time remaining, you are strongly encouraged to:

Monitor your budget balance and draw-down activity frequently and consistently, to ensure funds are being used in accordance with your approved grant project.

<http://slcp.ed.gov/materials/PD09/pdf/EffectiveGrantManagement.pdf>

Final Project Year

Fiscal Management Guidance

- ▶ Check in with your district budget /finance staffs **now** to make sure they are aware of this timeline.
- ▶ Inquire with your district and school leaders **now** to identify other potential end-of-year priorities (fiscal-year-end activities, audits, etc.).

Final Project Year

Fiscal Management Guidance

Ensure your participating schools, district staffs, and your budget office understand the limited time remaining to expend SLC grant funds, and know the process and time it takes from point of obligation to invoicing to drawing down SLC grant funds from your G5 account.

Year 4 (2008-09)

Annual Performance Report

www.slcapr.ed.gov

- ▶ An electronic letter regarding the Year 4 APR was emailed on Friday, October 16, 2009 to all 2005 SLC Grant Project Directors on record with the Department.
- ▶ Year 4 (2008-09) APR and independent evaluator report are also due before or by January 14, 2010. **Ensure the evaluator submits an invoice for completed and satisfactory work in a timely manner, so they are paid prior to the end of the grant performance period.**
- ▶ Direct any APR questions to your ED Program Officer.

Year 5 (2009-10)

Final Performance Report (FPR)

As noted in the previous chart, your Year 5/ Final Performance report (FPR) will be due AFTER your project performance period has ended (in Winter 2011).

2005 SLC and SLC ERO grantees are strongly encouraged to begin compiling Year 5 (2009-2010) data now in order to minimize the data collection that will after September 30, 2010, when SLC grant funds are no longer available to pay for staff (project director, evaluator, etc.) time and effort.

Year 5 (2009-10) / FPR

Planning Ahead

- ▶ The Department will issue Year 5 (2009-10)/ FPR guidance in Summer 2010.
- ▶ Deadline date and guidance will be sent to the project director and to the Superintendent (authorizing representative).
- ▶ The FPR due date will be 90 days from the date the guidance letter is issued.
- ▶ The FPR will cover entire project performance period (2005-2010), including Year 5.
- ▶ FPR template will be the same as prior year APR templates.

Year 5 (2009-10)/ Final Performance Report: Data you can collect now

The project director can begin work now to compile Years 1-4 activities and progress towards goals/objectives using past APRs and the standard APR narrative template .

Program Objectives/ Milestones	Status	Comments

This will allow lead staff to compile the final performance report early, and reduce the data collection burden that could result as a consequence of waiting until after the project has ended.

Year 5 (2009-10)/ Final Performance Report: Data you can collect now

SLC schools can document and track from now through the end of the school year all 2009-10 project activities, progress, lessons learned, and budget using the goals/objectives narrative template from previous APRs.

Program Objectives/ Milestones	Status	Comments

This will allow lead staff to compile the final performance report early, and reduce the data collection burden that could result as a consequence of waiting until after the project has ended.

Year 5 (2009-10)/ Final Performance Report:

Data you can collect now

The project director may ask each participating school to complete and submit by early 2010 their SLC Structures and Strategies APR Chart (in the Excel workbook section of the APR) for the 2009-10 school year.

	Grade					
	Year	9	10	11	12	TOTAL
Total # of students in SLCs at each grade level:						
Strategies						
Advisory period/Teacher Advisories	2009-10					
Alternative Scheduling/Block Scheduling	2009-10					
Summer Bridge Program/ 9th Grade Transition Program	2009-10					
Other (describe below)						
(Number of teachers)						
Common Planning Time	2009-10					
Number of students involved in the following SLC structures:						
Career or Other Themed Academy	2009-10					
Freshman/Transition Academy	2009-10					
House	2009-10					
Number of SLC- students enrolled in at least one course that offers AP/IB credit	2009-10					

Year 5 (2009-10)/ Final Performance Report:

Data you can collect now

- ▶ Ask your SLC grant evaluator to complete their independent evaluation report and issue a final invoice before or by your project period end date.
- ▶ The Department will allow and strongly encourages you to ask your evaluator to complete a report before the end of Year 5. The report should covers as much of the final year (2009-10) as possible, and we understand that it may not include all Year 5 project activities.
- ▶ The evaluator's final invoice must be submitted at latest during the liquidation period and with enough time for your finance office to process and draw-down funds BEFORE midnight September 30, 2010.

Year 5 (2009-10)/ Final Performance Report:

Data that may not be available until late 2010

2009-10 Student outcome data:

- State Reading/English language arts test outcomes
- State Math test outcomes
- Graduation rate
- Postsecondary education outcomes

Project directors are strongly encouraged to ensure that schools and district leadership are aware that this data must be collected after the performance period has ended.

Next Steps

- ▶ Review the performance period timeline with all SLC team members.
- ▶ Review the budget processes, liquidation timeline and funds expiration date with your district and SLC school finance staffs.
- ▶ Begin preparing your Year 5 final performance report now.
- ▶ Direct any grant-specific questions to your program officer.

Frequently Asked Questions and Answers

Q: Can we extend our grant liquidation period past October 1, 2010?

A: No, because after midnight September 30, 2010, your SLC grant balance will be \$0.

Frequently Asked Questions and Answers

Q: Can 2005 Grantees apply in the 2010 SLC grant competition?

A: There is no final decision at this time, but note:

- 1) Past notices inviting applications stated that an LEA may apply only on behalf of a school or schools that is not included in an SLC implementation grant that has a performance period that extends beyond the current fiscal year (September 30, 2010); and
- 2) Past performance will be factored into final grant award decisions.

Frequently Asked Questions and Answers

Q: We're worried that we may find some unpaid invoices after 9/30/10. Can we withdraw the remaining funds in our G5 account on 0/30/10 and retain them in case we have unpaid invoices? We would return any funds we don't need later.

A: No. Department regulations permit you to draw down funds only for immediate cash needs. Drawing down funds "in case" you may need them is prohibited.

Frequently Asked Questions and Answers

Q: Three of our teachers want to participate in a professional development meeting on 10/8/10. The activity is related to our SLC project. Can we draw down the \$1,600 we need for this activity on or before September 30, 2010?

A: No. Your grant funds are only available for activities that occur during the performance period of your grant. Using the funds for an activity that occurs after September 30 is prohibited.

Frequently Asked Questions and Answers

Q: We want to use grant funds to pay a part-time secretary in our office to finish some grant closeout activities in October and November 2010. Since the grant funds revert to the Treasury after September 30, can we draw down funds before then and pay him in advance?

A: No, for two reasons. First, your grant funds are only available for activities that occur during the performance period of your grant. Using the funds for an activity that occurs after September 30 is prohibited. Second, you may obligate grant funds for “personal services” performed by one of your employees only as the work is performed. You cannot advance a payment for “personal services” that will occur at a later date.

Frequently Asked Questions and Answers

Q: We received approval to continue activities through September 30, 2010. Can we draw down funds to pay the project director's salary on September 30 (the last day to draw down funds)?

A: Technically speaking, yes, if the Department has approved a no cost extension period that allows activities through September 30, 2010. However, practically speaking, this would mean that the project director would submit her time and effort sheet at the end of the day on September 30, your budget staff would stick around to approve and process this payment, and then draw down funds before midnight that same day. *Is this a realistic scenario given your district budget office capacity, or should you identify ways to complete the work earlier or use non-SLC grant funds?*

Frequently Asked Questions and Answers

Q: We are considering budget changes given the amount of carryover we have remaining. Can I go ahead with these changes?

A: Discuss your proposed changes directly with your program officer to make sure they are allowable costs and to determine whether they require prior approval.